

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Hiroshi Kawabata et al.

Serial No: 09/358,755

Filed: July 22, 1999

For: NUCLEIC ACID ENCODING  
TRANSFERRIN RECEPTOR-LIKE  
PROTEINS AND PRODUCTS  
RELATED THERETO



Art Unit: 1643

Examiner: --

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents  
Washington D.C. 20231, on  
November 17, 1999  
Date of Deposit  
Wei-Ning Yang  
Name  
[Signature] 11/17/1999  
Signature Date

RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION

Box MISSING PARTS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In response to the "Notice to File Missing Parts of Application, Filing Date Granted," dated August 20, 1999, response to which is due November 20, 1999 with a one-month extension of time, enclosed are the following:

- ☒ A copy of the "Notice to File Missing Parts of Application Filing Date Granted".
- ☒ A "Declaration and Power of Attorney" executed by the inventor(s).
- ☒ An executed "Power of Attorney by Assignee".
- ☒ An executed "Verified Statement Claiming Small Entity Status".
- ☒ A "Petition for Extension of Time" for one month and a check for the required fee in the amount of \$55.
- ☒ A check in the amount of \$65 to cover the surcharge for late filing of the Declaration.

The Commissioner is authorized to charge any underpayment to our Deposit Account No. 12-1820. A copy of this letter is enclosed.

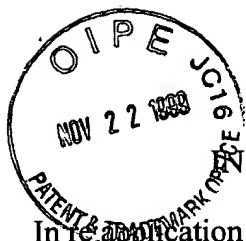
Respectfully submitted,

Date: November 17, 1999

By: [Signature]

Wei-Ning Yang  
Registration No. 38,690  
Attorney for Applicant(s)

LOEB & LOEB LLP  
10100 Santa Monica Blvd., 22nd Floor  
Los Angeles, California 90067-4164  
Customer No. 22335  
Telephone: 310-282-2000  
Facsimile: 310-282-2192



PATENT  
008708-D7024

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Hiroshi Kawabata et al.

Serial No: 09/358,755

Filed: July 22, 1999

For: Nucleic Acid Encoding Transferrin  
Receptor-Like Proteins and Products  
Related Thereto

Art Unit: --

Examiner: --

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents  
Washington D.C. 20231, on  
11/17/1999  
Date of Deposit  
Wei-Ning Yang  
Name  
Signature 11/17/1999  
Date

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Request is hereby made for correction of the filing receipt (copy enclosed) for the above-identified application. Please note that the title is incorrect. The correct title is --NUCLEIC ACID ENCODING TRANSFERRIN RECEPTOR-LIKE PROTEINS AND PRODUCTS RELATED THERETO--.

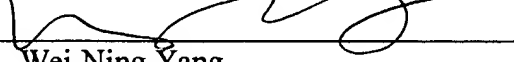
- ☒ It is believed this is a Patent Office error, and accordingly, no fee is enclosed. However if a fee should be required, please charge it to Deposit Account No. 12-1820 of the undersigned attorney's firm.

A copy of this Request is enclosed.

Respectfully submitted,

LOEB & LOEB LLP

Date: November 17, 1999

By:   
Wei-Ning Yang  
Registration No. 38,690  
Attorney for Applicant(s)

10100 Santa Monica Blvd., 22nd Floor  
Los Angeles, California 90067-4164  
Telephone: 310-282-2000  
Facsimile: 310-282-2192

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
WASHINGTON, D.C. 20231

8708.D 7024  
Cedars - Sinai  
WNY 114

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/358,755	07/22/99	1643	\$892.00	008708-D7024	10	23	4

LOEB & LOEB LLP  
10100 SANTA MONICA BLVD 22ND FLOOR  
LOS ANGELES CA 90067-4164



RECEIVED

AUG 25 1999

MAILING

Receipt is acknowledged of this nonprovisional Patent Application. It is to be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted therein. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any amendments to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) HIROSHI KAWABATA, RESIDENCE NOT PROVIDED; H. PHILLIP KOEFFLER, RESIDENCE NOT PROVIDED.

CONTINUING DATA AS CLAIMED BY APPLICANT-  
PROVISIONAL APPLICATION NO. 60/107,502 11/06/98

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 08/18/99

TITLE

NUCLEIC ACIDS ENCODING TRANSFERRIN RECEPTOR-LIKE PROTEINS AND PRODUCTS AND PRODUCTS RELATED THERETO

PRELIMINARY CLASS: 435

ORIGINAL DOCUMENT COPY KEPT  
BY DOCKET CLERK FOR INDEXING

AUG 25 1999

BY \_\_\_\_\_

DATA ENTRY BY: WILSON, TAMMY

TEAM: 06 DATE: 08/18/99

\*\*\*\*\*

(See Remarks for more information)

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 1<sup>04</sup>**  
**Title 7, Code of Federal Regulations, 5.11 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR Parts 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "FOREIGN FILING LICENSE GRANTED" DOES NOT appear on the reverse side of this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE ---- The Following Information about the Filing Receipt:**

The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.

The words "new," "improved," "improvement," "improvements in or relating to" are not included as the first words in the title of an application because a patent application is, by nature, a new idea or improvement.

The title may be truncated if it consists of more than 4 lines of 70 characters each (letters and spaces combined).

The inventor information may be truncated if the family name consists of more than 25 characters (letters and spaces combined) and if the given name consists of more than 25 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).

The docket number allows a maximum of 12 characters.

If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Customer Address may have been modified to conform to U.S. Postal rules.

Please direct correction, including a copy of your Filing Receipt, to:  
Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



8708-D7024  
Cedars-Sinai  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/358,755	07/22/99	KAWABATA	H 008708-D7024

LOEB & LOEB LLP  
10100 SANTA MONICA BLVD, 22ND FLOOR  
LOS ANGELES CA 90067-4164

0262/0820

RECEIVED

AUG 23 1999

NOT ASSIGNED

DOCKETING

DATE MAILED:

1643

08/20/99

This Matter Docketed  
For: 10/20/99 NOTICE TO FILE MISSING PARTS OF APPLICATION  
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER: \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice **MUST** be returned with the reply.

ORIGINAL DOCUMENT COPY KEPT  
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T. Wilson  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

AUG 23 1999